



U.S. Department of the Interior
"To-Be" Trust Business Model
Process Template

Title: Close Probate Case

Identify the process in the "Verb Noun" format. (Ex: Maintain Ownership)

Process Number

O.3.3 _____

1. Process Definition *Provide an overview of the process and define its starting and ending points*

1.1 Starts With	When the judge releases the decision for implementation.
1.2 Process Overview	<p>When the judge releases the decision for implementation the probate specialist is electronically notified when ownership changes are made and funds distributed. When the decision is fully implemented the hardcopy probate is marked closed and filed.</p> <p>Identify problems with this process that may be resolved through BRDM (B.5.1 Conduct Outreach Activities and B.5.2 Post Outreach Activities). Provide support and/or participate in outreach activities.</p>
1.3 Stops With	Filing the hardcopy probate file as closed.

2. Trust Business Objectives *Identify the Comprehensive Trust Management Plan strategic goals and business objectives to which this process contributes.*

Goal/Objective
2.1 Expand self-governance compacts and self-determination contracts. Foster expansion of self-governance compacts and self-determination contracts in a manner consistent with DOI's fiduciary responsibilities.
3.2. Probate and estate administration. Consistently prioritize and quickly resolve probate and estate administration cases to effectively meet asset management and beneficiary service requirements.
3.3. Title, realty, and administrative information. Develop, maintain, and make readily available accurate and current asset ownership and administrative information managed to professional fiduciary standards

3. How should Beneficiaries be involved in this process?

Beneficiary Involvement



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4. Organizations, Offices and Roles. Identify the organizations that should be involved in performing the process.

4.1 DOI Organizations. Identify the DOI organizations, offices and roles that contribute to this process. DOI organizations include the Office of the Secretary, BIA, OST, BLM, MMS, OHA, OSM among others. Offices include Central Offices, Regional Offices, Agency(Field) Offices, etc. Using the CTM, Appendix D, identify and describe each role that contributes to the execution of the process.

Organization	Office	Role	Contribution
BIA	Probate		Confirm all funds have been distributed and ownership changes made. Identify problems with the process that may be resolved through BRDM outreach activities. Provide support and/or participate in the outreach activity.
Tribes	Applicable Tribal office.		For compacted and contracting Tribes that have assumed this responsibility, the Tribe performs all DOI functions except those considered inherently federal. Identify problems with the process that may be resolved through BRDM outreach activities. Provide support and/or participate in the outreach activity.

4.2 Non-DOI Organizations. Identify the non-DOI organizations that support the execution or contribute to this process.

Non-DOI Organization	Contribution



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- 5. Event(s)** Identify the events or conditions that start the process. Describe each event and indicate the frequency (daily, monthly, quarterly, etc.) in which each event is expected to occur. An event may be an external interaction (a beneficiary submits an application), the expiration of a period of time (a lease is due to expire in 90 days), or the realization of some pre-defined threshold (an IIM account reaches the automatic disbursement threshold).

Event	Description	Estimated Frequency
Notice to agency(s)	Notification to the all affected agencies that no appeals were filed, the decision is final and has been released for execution.	

- 6. Inputs and Outputs.** Identify and describe all inputs and outputs related to this process. Inputs are information or materials used during the execution of the process; outputs are materials or information produced by the process.

6.1 Inputs

Input	Description
Final Decision	Tickler sent to the home agency when the appeal period expires without an appeal being filed.
Electronic confirmation	Automatic confirmation for the home agency when actions are taken to execute the decision (Ownership changes made and funds distributed)

6.2 Outputs

Output	Description
Closed Probate Case	When all actions are taken to fully execute the decision the probate is filed is closed.



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7. Fiduciary and Legal Obligations and Controls

7.1 Obligations

Identify and describe the legal and fiduciary obligations that impact this process. For each obligation, indicate the document or commitment that defines the obligation and the citation (paragraph or section) within the document that pertains to this process.

Obligation	Source	Business Impact
25 CFR 15		Change and combine with 43 CFR 4 to accommodate the new process.
43 CFR 4		Change and combine with 25 CFR 15 to accommodate the new process.
5 USC 552 (FOIA)		Freedom of Information Act
5 USC 552a (Privacy Act)		Provides for the protection and accuracy of information about individuals.



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7.2 Controls

Identify and describe any controls (enforcement mechanisms) that may be used to ensure that the process adheres to obligations and internal process requirements. Controls may be reviews, audits, segregated duties, etc. Indicate the reason that each control should be introduced (name the obligation that a control is intended to enforce; indicate any controls required to ensure consistency or reliability).

Control	Reason	Description
Appeal Process	Constitutionally guaranteed due process	Could result in a different decision than issued in the original hearing.
BIA Title Review	Reviews for accuracy when received	When the decision is received from Single Office of Adjudication the ownership changes undergo a review at the LTRO.
Financial Operations Review	Reviews for accuracy when received.	When the decision is received at OTFM for funds distribution they review the distribution for accuracy.
Conveyances Review	Receive and Review for application request	If the decision results in a conveyance, the conveyance process will review for accuracy of the documents required to make the conveyance.

8. Mechanisms (Systems of Record) identify the mechanisms, or systems, that are needed to support the process (ex: Ownership, Leasing, Workflow Management, Office Filing System, etc.). Indicate the information and activities, relevant to this process, that each system supports.

System Name	Support
Integrated Data	Information system containing all trust data
Interactive probate software tool	Interactive probate software tool that guides user through a probate. It is capable of prompting the user to ask additional questions based on previous answers supplied and/or requesting the proper documentation to verify answers given. It is capable of generating any forms/letters needed to probate the estate and generates a proposed decision based on the input. It is a seamless tool that flows from one sub process to the next electronically.
Imaging Equipment	To make electronic files and micro-film of all hardcopy files at the submitting offices.
Mailing Equipment	To expedite large mailings.
Hardcopy Records	Original probate records used to develop the electronic files.



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9. Inter-Process Relationships Identify other trust processes that are related to this process (either predecessors or successors). If applicable, indicate the condition under which the processes are related.

9.1 Predecessors. Predecessors are processes that either produce information required by this process or that result in the need to execute this process.

Process No.	Name	Condition of Relationship
O.3.2.4	Finalize Decision	Release of the probate decision for implementation when the appeal period expires with not request for an appeal.
O.3.2.5	Consider Appeals	If the judge's decision is to deny a re-hearing.
FO.1.3	Reconcile Exceptions and Produce Report	Help resolve deficiency reports.
FO.3.3	Reconcile Pre-Disbursements Exceptions	Help resolve pre-disbursement reports.
FO.3.6	Reconcile Deficiencies	Help resolve disbursement report rejections.

9.2 Successors. Successors are processes that either use information produced by this process or that must be executed as a result of performing this process.

Process No.	Name	Condition of Relationship
B.5.1	Conduct Outreach Activity	When probate staff identifies a problem with the Probate Process that can be resolved by a BRDM outreach they will work with BRDM to develop an outreach activity.
B.5.2	Post Outreach Activity	After an outreach activity the probate staff will analyze the effectiveness of the activity.
B.6.1	Provide Counsel on Asset Options	Participate in the provision of counseling to new heirs on estate planning.
FO.1.1a	Create Trust Funds Receivable	Automated notification after the probate is final to set up funds receivable account.



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Process No.	Name	Condition of Relationship
FO.3.1	Create Funds Payable	Money is disbursed.

10. Comments *Summarize any discussion, problems, issues or recommendations that should be considered when reviewing process performance. Category Values (Note, Best Practice, Decision, Problem, Issue, Recommendation)*

Category	Comment